

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: KITAOKA, et al. Examiner: M. Song
Serial No.: 10/757864 Group Art Unit: 1722
Filed: January 15, 2004 Docket: 10873.1391US01
Title: METHOD OF MANUFACTURING GROUP III NITRIDE SUBSTRATE
AND SEMICONDUCTOR DEVICE

CERTIFICATE OF TRANSMISSION

I hereby certify that the papers listed below are being transmitted by EPS Web to: Mail Stop Amendment, Commissioner for Patents,
P.O. Box 1450, Alexandria, VA 22313-1450 on November 27, 2006

By: 

Name: Peggy Kerkhove

INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

With regard to the above-identified application, the items of information listed on the enclosed Form 1449 are brought to the attention of the Examiner. Copies of any foreign patent documents or "Other Documents" are enclosed.

In accordance with the provisions of 37 C.F.R. §1.97, this statement is being filed (CHECK ONE):

- ☐ (1) within three (3) months of the Filing Date, before the mailing date of a First Office Action on the merits, or before the mailing date of a First Office Action on the merits after the filing of a request for continued examination under 37 C.F.R. §1.114; or
- ☒ (2) after the period defined in (1) but before the mailing date of a Final Rejection or Notice of Allowance, and
- ☐ the requisite Statement is below, OR
- ☒ the requisite fee of \$180.00 under Rule 1.17(p) is included herein, or
- ☐ (3) after the mailing date of a Final Rejection or Notice of Allowance but on or before the payment of the Issue Fee, AND

- ☐ the requisite Statement is below, AND
- ☐ the requisite fee of \$180.00 under Rule 1.17(p) is included herein.

STATEMENT

As required under §1.97(e), Applicants hereby state either that:

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing date of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the Information Disclosure Statement.
- ☐ If this box is checked, Applicant provides the following:

Certification Under 37 C.F.R. §1.704(d)

In accordance with 37 C.F.R. §1.704(d), the undersigned hereby certifies that each item listed on the enclosed Form 1449 was first cited in a communication from a foreign patent office in a counterpart application, and that this communication was not received by any individual designated in 37 C.F.R. §1.56(c) more than thirty (30) days prior to the filing of this Information Disclosure Statement.

- ☒ The Examiner is hereby advised of the following co-pending U.S. applications. A copy of each U.S. patent application publication (if published) or application (if not published) is enclosed.

<u>Application No.</u>	<u>Publication No.</u>	<u>Filing Date</u>	<u>Group</u>
10/804,610	2004/0183090	March 18, 2004	2818
10/758/815	2004/0147096	January 16, 2004	1754
10/969,791	2005/0082564	October 19, 2004	2815
10/884,252	2005/0011432	July 2, 2004	1722
10/856,467	2004/0262630	December, 2004	1775

No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§ 102 and 103 and Applicants reserve the right, pursuant to 37 C.F.R. § 1.131 or otherwise, to establish that the reference(s) are not "prior art." Moreover, Applicants do not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended.

Consideration of the items listed is respectfully requested. Pursuant to the provisions of M.P.E.P. 609, it is requested that the Examiner return a copy of the attached Form 1449, marked as being considered and initialed by the Examiner, to the undersigned with the next official communication.

FEE AUTHORIZATION

Should any fee associated with the submission of this paper not be attached hereto as a check, the Commissioner is authorized to charge the missing fee to our Deposit Account, No. 50-3478. Any overpayments should be credited to said Deposit Account.

Respectfully submitted,

HAMRE, SCHUMANN, MUELLER &
LARSON, P.C.
P.O. Box 2902-0902
Minneapolis, MN 55402-0902
(612) 455-3300

Dated: November 27, 2006

By: 

Douglas P. Mueller
Reg. No. 30,300

DPM/pjk

53148

PATENT TRADEMARK OFFICE

FORM 1449* INFORMATION DISCLOSURE STATEMENT IN AN APPLICATION (Use several sheets if necessary)	Docket Number: 10873 1391US01	Application Number 10/757,864
	Applicant: KITAOKA et al.	
	Filing Date: January 15, 2004	Group Art Unit: 1722

U.S. PATENT DOCUMENTS						
EXAMINER INITIAL	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,868,837	February, 1999	DiSalvo et al.			
	6,121,121	September, 2000	Koide			
	6,270,569	August, 2001	Shibata, et al.			
	6,503,610	January, 2003	Hiramatsu, et al.			
	2003/0042496	March, 2003	Sasaoka			
	6,592,663	July, 2003	Sarayama, et al.			
	6,614,059	September, 2003	Tsujimura, et al.			
	6,667,252	December, 2003	Miyajima, et al.			
	2004/0124434	July, 2004	D'Evelyn et al.			
	2004/0147096	July, 2004	Kitaoka, et al.			
	2004/0183090	September, 2004	Kitaoka, et al.			
	2004/0262630	December, 2004	Kitaoka, et al.			
	2005/0011432	January, 2005	Kitaoka, et al.			
	2005/0082564	April, 2005	Kitaoka, et al.			
	2006/0051942	March, 2006	Sasaki, et al.			

FOREIGN PATENT DOCUMENTS						
	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
						YES NO
	11-145516	May, 1999	Japan			
	2000-357663	December, 2000	Japan			Abstract
	3409576	March, 2003	Japan			Abstract
	2004/013385	February, 2004	WIPO			

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)	
	Kawamura et al., "Growth of a Large GaN single Crystal Using the Liquid Phase Epitaxy (LPE) Technique" Japanese Journal of Applied Physics Vol. 42 (2003) pp. L4-L6
	M. Morishita, et al. "The growth mechanism of GaN single crystals in Na flux system", Journal of the Japanese association for crystal growth, Vol. 30, No. 3 (2003), 801aA7
	M. Morishita, et al., "Growth of transparent GaN single crystals using LPE technique in Na flux system", The Japan Society of Applied Physics and Related Societies, Extended Abstracts (The 51st Spring Meeting, 2004), 29 p-YK-6

EXAMINER	DATE CONSIDERED	53148 PATENT TRADEMARK OFFICE
----------	-----------------	---

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant.